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Special measures for protection from sexual exploitation and sexual abuse

Report of the Secretary-General

Summary

Pursuant to General Assembly resolution 57/306, the present report presents data on allegations of sexual exploitation and abuse in the United Nations system for the period from 1 January to 31 December 2013 and provides information on actions taken to prevent and address sexual exploitation and abuse by United Nations personnel.

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I. Introduction

1. The Secretary-General continues to implement his zero tolerance policy towards all forms of sexual exploitation and sexual abuse by United Nations staff members and related personnel. Measures put in place to prevent and address sexual exploitation and abuse over a decade ago have been enhanced over the years. Despite a slight increase in 2013, there has been a general downward trend in the number of allegations of sexual exploitation and sexual abuse received in recent years. Nonetheless, instances of sexual exploitation and abuse persist.

2. A total of 96 allegations were received for the 2013 reporting period. In peacekeeping and special political missions, there were 66 allegations reported in 2013. The present report provides information on the number and type of allegations of sexual exploitation and abuse received in 2013 and the status of investigations into those allegations, as well as an update on the enhanced measures for the implementation of the zero tolerance policy towards acts of sexual exploitation and abuse. The report also provides additional updated information on allegations in peacekeeping and special political missions received in 2010, 2011 and 2012.

II. Reports of sexual exploitation and abuse in 2013

3. Information on allegations of sexual exploitation or sexual abuse reported in 2013 was received from 42 entities, including the departments and offices of the Secretariat and agencies, funds and programmes of the United Nations system. The number of allegations reported for 2013 by all entities totalled 96, compared with 88 in 2012. Six entities, including peacekeeping operations, reported receiving one or more allegations, while 36 received none.

Allegations reported against United Nations staff members and related personnel other than those deployed in peacekeeping operations and special political missions supported by the Department of Field Support

4. Annex I to the present report contains details on the nature of allegations reported against United Nations staff members and related personnel other than those deployed in peacekeeping operations and special political missions. As at 31 December 2013, 30 allegations of sexual exploitation and abuse had been reported, reflecting an increase over the 28 allegations received in 2012. The category and status of the allegations are summarized below:

(a) One allegation of sex with a minor was reported against a staff member of the Office for the Coordination of Humanitarian Affairs in a field office. The case has been referred to the Office of Internal Oversight Services (OIOS);

(b) The Office of the United Nations High Commissioner for Refugees reported 12 allegations: 1 of rape with a victim over the age of 18; 2 of sex with minors; 1 of sexual assault of a victim under the age of 18; 4 of exchange of money, employment, goods or services for sex; and 4 of other forms of sexual exploitation and abuse. Of those 12 cases, four involve non-staff personnel: 1 of sex with a minor and 3 of other forms of sexual exploitation and abuse. Eleven of the cases have been referred to an investigative body and are currently under review. One case of sexual assault was found to be unsubstantiated and was closed;

(c) The United Nations Development Programme (UNDP) reported six allegations: one against a staff member and five against related personnel. The allegation against the staff member involved sex with a minor; it was found to be unsubstantiated and was closed. Of the five allegations made against related personnel, three involved the same individual, who held a UNDP service contract but was providing services for the United Nations Human Settlements Programme (UN-Habitat). The three allegations made against the one individual are rape of a victim under the age of 18, rape of a victim over the age of 18 and sexual assault of a victim over the age of 18. The contract of this individual was terminated. The two other allegations involving related personnel are rape of a victim over the age of 18 and solicitation of a prostitute under the age of 18. These two cases are under investigation by the UNDP Office of Audit and Investigation;

(d) The United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA) reported seven allegations for 2013, all involving staff members. Two allegations involved sexual assault of victims under the age of 18; one was found to be unsubstantiated and the other is under investigation. One allegation of sexual assault of a victim over the age of 18 was closed after the complainant withdrew the complaint. An investigation into an allegation of exchange for money, employment, goods or services for sex is ongoing. Three allegations of other forms of sexual exploitation and abuse were reported; one was found to be unsubstantiated and the other two are under investigation;

(e) Four allegations were reported by the World Food Programme (WFP), all involving staff members. Of those, three were found to be unsubstantiated and one is under investigation. The three closed cases involved exchange for money, employment, goods or services for sex, solicitation of prostitutes (whose age has not yet been confirmed), and other forms of sexual exploitation and abuse. The one allegation under investigation relates to other forms of sexual exploitation and abuse.

5. At the end of the reporting period, 63 per cent of the allegations were under investigation and 37 per cent had been closed either because the allegations were found not to be substantiated or owing to a lack of sufficient supporting evidence. Annex II describes the status of investigations into the allegations received in 2013.

6. During the reporting period, investigations into 19 allegations received in 2012 continued. Of the 19 investigations, 10 were concluded; 6 of those were found to be unsubstantiated and 4 were further reviewed, found to be substantiated and subsequently closed. Investigations into the remaining nine allegations were either continuing or the investigation report was under review by the relevant offices at the end of 2013.

Allegations reported against personnel deployed in peacekeeping operations and special political missions supported by the Department of Field Support

7. In 2013, 66 allegations of sexual exploitation and abuse were reported in nine peacekeeping missions, with no allegations reported in special political missions. Of those allegations, 21 involved staff members, contractors or United Nations Volunteers (UNV); 37 involved members of military contingents or United Nations military observers; 7 involved United Nations police officers or members of formed police units; and 1 involved a person of a yet unidentified category. Annex III contains detailed information on all allegations received in 2013.

8. In 2013, the majority (53 allegations or 80 per cent) of allegations of sexual exploitation and abuse were received from the same four peacekeeping missions as in 2012. The United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO), with 23 allegations (35 per cent); the United Nations Stabilization Mission in Haiti (MINUSTAH), with 17 allegations (26 per cent); the United Nations Mission in Liberia (UNMIL), with 7 allegations (11 per cent) and the United Nations Mission in South Sudan (UNMISS), with 6 allegations (9 per cent). The remaining 13 allegations (20 per cent) were from the United Nations Multidimensional Integrated Stabilization Mission in Mali (MINUSMA), with 5 allegations; the United Nations Operation in Côte d'Ivoire (UNOCI), with 4 allegations; the United Nations Interim Administration Mission in Kosovo (UNMIK), with 2 allegations; the African Union-United Nations Hybrid Operation in Darfur (UNAMID) and the United Nations Peacekeeping Force in Cyprus (UNFICYP), with 1 allegation each.

9. Similar to the previous reporting period, 32 (48 per cent) of the total number of allegations reported in 2013 involved the most egregious forms of sexual exploitation and abuse, with 18 allegations of sexual activities with minors (27 per cent) and 14 allegations of non-consensual sex with persons aged 18 or older (21 per cent). Allegations of sexual abuse represented 50 per cent or more of the total number of allegations received for UNMIK (2 of 2 allegations), MINUSMA (3 of 5 allegations) and UNMISS (3 of 6 allegations) and UNOCI (2 of 4 allegations). MONUSCO received 12 allegations of sexual abuse out of 23 allegations. The remaining 10 allegations of sexual abuse were received from MINUSTAH (7 of 17 allegations) and UNMIL (3 of 7 allegations).

10. With regard to investigations into the allegations received in 2013:

(a) A total of 29 allegations involving at least 44 military contingent personnel were referred for investigations to be conducted by troop-contributing countries. In 20 of those instances, the Member States involved elected to investigate the matter on their own or in coordination with the United Nations, while in 7 instances a response to requests for the appointment of a National Investigation Officer by the Member States concerned was pending. In two instances, the absence of a reply or a decline to investigate on the part of the Member State resulted in the investigations being undertaken by the United Nations;

(b) A total of 29 of the 66 allegations received in 2013 were referred for investigations to be conducted by the United Nations, with 21 involving some 26 civilian personnel, 2 involving two United Nations military observers and 6 involving at least seven police personnel;

(c) Four allegations were the object of further review, with three having been closed as unsubstantiated and one remaining open pending further verification;

(d) Information provided on four allegations of sexual exploitation and abuse was deemed insufficient to allow for further investigation and closed accordingly.

11. As at 31 January 2014, investigations had been completed for 17 allegations received in 2013. They include those conducted by troop-contributing countries into 7 allegations (6 substantiated and 1 unsubstantiated) and those conducted by the United Nations into 10 allegations (3 substantiated and 7 unsubstantiated).

12. In 2013, the Department of Field Support requested the Office of Human Resources Management to take action against civilian personnel in connection with three allegations of sexual exploitation and abuse in field missions:

(a) A request was made to take disciplinary action against a national staff member of MONUSCO for a substantiated allegation of sexual abuse. The staff member was dismissed effective 14 January 2014;

(b) A MINUSTAH international staff member left the employment of the United Nations before disciplinary action could be taken in relation to a substantiated allegation of having spent a night in a hotel room with a minor in circumstances where it could not be established if sexual activities had taken place;

(c) A case involving a staff member of the United Nations Integrated Peacebuilding Office in the Central African Republic (BINUCA), who is alleged to have engaged in sexual abuse was referred for disciplinary action. The review of the case is nearing completion.

13. In addition, a national staff member of UNAMID was tried and imprisoned by national authorities for a substantiated allegation of sexual abuse.

14. In 2013, on a matter referred in 2012, the Secretary-General dismissed a national staff member of UNMIL for having engaged in prohibited sexual activities with a minor.

15. Three staff members were placed on administrative leave (two without pay and one with pay) pending the completion of investigations into allegations received in 2013 from MINUSTAH, MONUSCO and UNMIK.

16. The Secretariat was informed in 2013 that the employment contract of an employee of a United Nations-contracted company had been terminated in connection with a substantiated allegation of sexual abuse in MONUSCO.

17. Regarding actions involving military and police personnel in 2013, Member States were informed that four police and seven military personnel would be repatriated on disciplinary grounds and barred from participating in future field missions in connection with 11 substantiated allegations received in 2013 or earlier. In 2013, the Department of Field Support received 22 responses from Member States on action taken through their national accountability mechanisms regarding substantiated allegations from 2013 or earlier:

(a) For allegations received in 2013, responses indicated that four military personnel had been imprisoned and one dismissed;

(b) No further information was made available concerning allegations received in 2012;

(c) For allegations received in 2011 or earlier, one police staff member had been imprisoned and another had received an administrative sanction in relation to two substantiated allegations; six military personnel had been imprisoned; three military personnel had been dismissed; and eight military personnel had received various administrative sanctions in connection with 13 substantiated allegations.

III. Observations

18. The Secretary-General remains committed to ensuring that all reported allegations for which there is sufficient information to allow for an investigation to be initiated are investigated fully and promptly. When allegations of sexual exploitation and abuse are substantiated through investigations, the Secretary-General will continue to take measures within his authority and request that Member States also ensure that those responsible are held accountable through disciplinary actions or criminal accountability measures when so warranted. This is the fundamental basis of the zero tolerance policy on sexual exploitation and sexual abuse.

19. For peacekeeping and special political missions, the total number of allegations received (66) increased slightly in 2013 compared with the number reported for 2012 (60 allegations), but remains lower than the number reported for 2011 (74 allegations) and 2010 (85 allegations). While there has generally been a downward trend in numbers of allegations reported each year since 2005, this is not the first time that a year-over-year increase in the number of allegations has occurred (see figure below). A similar situation was experienced with a higher number of allegations reported in 2009 (112 allegations), compared with 2008 (86 allegations).

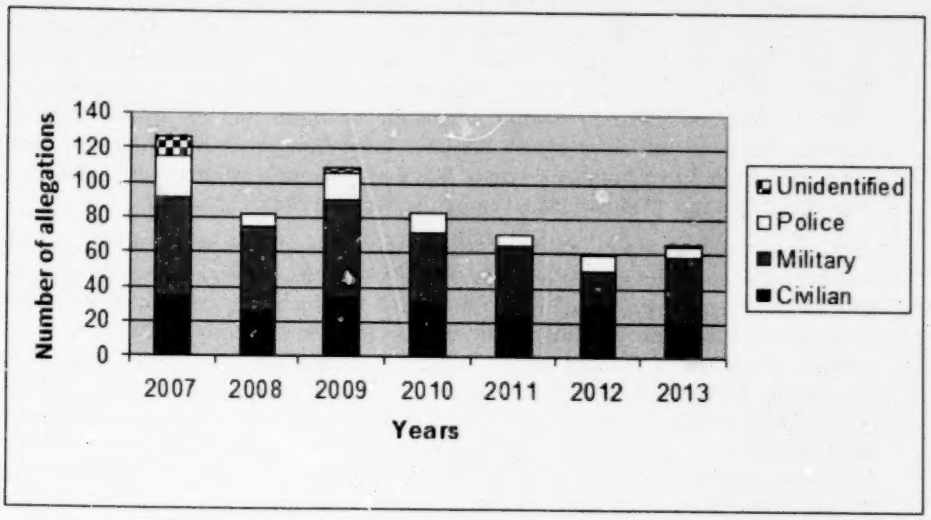
20. The number of substantiated allegations is also following a similar downward trend. While investigations of 2 allegations remain pending for 2010, investigations substantiated 33 of the 85 allegations recorded that year. In 2011, investigations substantiated 31 of the 74 allegations recorded, with 1 investigation still pending. For 2012, while investigations into 9 allegations have yet to be completed, only 5 of the 60 allegations recorded have been substantiated. For the current reporting period, 9 of the 66 allegations have been substantiated to date.

21. Beyond the numbers of allegations, it is also important to consider the numbers of possible and confirmed victims of sexual exploitation and abuse. In 2013, of the 66 allegations, 13 were reported without sufficient information on the number of potential adult or minor victims. In relation to 53 allegations, however, 20 minors and 15 adults were identified as possible victims of sexual abuse, whereas 27 adults claimed to be victims of sexual exploitation. Updated data for the 2010-2012 period confirm that allegations of sexual abuse involving 32 minors and 24 adults were substantiated. Allegations of sexual exploitation involving 38 adults were also substantiated in investigations completed for that period.

22. Twelve of the allegations received in 2013 involved paternity claims, with seven claims from MINUSTAH, four from MONUSCO and one from UNMISS. Investigations completed into allegations reported for the 2010-2012 period substantiated 20 allegations of either sexual abuse or sexual exploitation that also involved paternity claims. This issue remains a concern. To the best of the Organization's knowledge, there is yet to be a single paternity claim acknowledged through judicial actions in any troop- or police-contributing country.

23. With respect to the categories of personnel involved, allegations involving military personnel (37 allegations) were higher in 2013, compared with 2012. The number of allegations involving civilian (21), police (7) and other categories of personnel (1) were lower in 2013, compared with 2012 (see figure below).

Total allegations by category of personnel 2007-2013



Source: Office of Internal Oversight Services.

24. A number of the allegations of sexual abuse involving military contingent personnel in MINUSMA were received at the start of that mission. Since all of the allegations received for MINUSMA involved military contingent personnel, this situation may be attributable to the re-hatting of troops that had not benefited from pre-deployment training on the United Nations standards of conduct, including on sexual exploitation and abuse. Providing in-mission training could address such a situation. Critically important is the use of the chain of command to send a very strong message on expectations in terms of conduct immediately at the time of the re-hatting.

25. The increase in the number of allegations in MINUSTAH can be partly attributed to five paternity claims involving members of military contingents from the same Member State. All of these instances involved consensual sexual activities between adults that had taken place some years earlier. Public awareness of efforts taken by the particular Member State to address prior instances of alleged sexual exploitation or abuse may have led to this more recent increase in reporting of allegations that occurred in previous periods.

26. In MONUSCO, some recently conducted investigations concluded that false allegations of sexual exploitation or sexual abuse were being made in order to extort money from United Nations personnel, in particular military personnel. A report of a team of experts that visited MONUSCO also refers to this issue. Previous investigation reports have also raised concerns regarding instances where money had been dispensed in order to silence possible complainants, thereby creating a perception among some that there might be money to be made in reporting allegations of sexual exploitation or abuse. While awareness can be raised of possible attempts to extort money through false claims, such information should not deter the Organization's efforts to have all allegations fully investigated.

27. Responses from Member States on referrals for action continued to increase in 2013, with an overall response rate of 91 per cent, compared with 57 per cent in 2012, 43 per cent in 2011, 39 per cent in 2010, 17 per cent in 2009 and 11 per cent in 2008. The enhanced level of follow-up and communication between Member States and the Organization in relation to information on both results of investigations conducted by troop-contributing countries and on actions taken by Member States in instances of substantiated allegations involving their uniformed personnel has led to a number of cases being closed, with information having been provided on all expected actions taken by the Member States involved.

28. As a result of these enhanced efforts, there has also been a reduction in the number of pending investigations into allegations from previous reporting periods. Investigations into two allegations from 2010 remain to be completed by troop-contributing countries. The investigation into another allegation recorded in 2011 remains pending with a troop-contributing country. Investigations are also pending completion for nine allegations received in 2012: four are pending with OIOS, three with MONUSCO, and two with troop-contributing countries. Information remains to be provided by troop- or police-contributing countries on disciplinary or other forms of action taken in relation to 7 substantiated allegations for 2012, 12 for 2011 and 21 for 2010. In many of these instances, partial information on actions taken was provided but additional details were needed. The Secretariat will continue its efforts to reduce the time taken to complete investigations. Continued efforts by Member States towards the timely completion of investigations and the transmission of comprehensive information to the Secretariat on actions taken are critical to the implementation of the zero tolerance policy.

29. The Secretariat has compiled an update on the status of all completed investigations into substantiated allegations received in 2010, 2011 and 2012, indicating the status of disciplinary or other measures taken, where available. These updated data will be provided as supplementary information and will be posted on the website of the Conduct and Discipline Unit (see http://cdu.unlb.org). According to these data, 69 allegations for the 2010-2012 period were substantiated, accounting for 34 per cent of all allegations for which an investigation could be launched, and has since been completed; this excludes the 12 allegations from that period for which an investigation is still pending. Of those 69 allegations, 40 (58 per cent) involved sexual abuse. While allegations of sexual abuse have generally represented fewer than half the allegations received, the latter data would indicate that allegations of sexual abuse are substantiated in a greater proportion. This highlights the importance of vigorous preventive efforts involving pre- and post-deployment training, outreach to local populations and strengthened efforts at national levels in connection with criminal accountability.

30. In terms of categories of personnel involved in substantiated allegations for the 2010-2012 period, 24 per cent of allegations involving police personnel were found to be substantiated, whereas the number of allegations received was 12 per cent of the total number of allegations involving that category of personnel. In the case of civilian personnel, whereas 23 per cent of allegations involving civilian personnel were substantiated, the number of allegations involving this category of personnel represented 41 per cent of the total number of allegations received. Allegations involving military personnel were substantiated in similar proportion (53 per cent) to the total number of allegations received involving that category of personnel (47 per cent). Furthermore, 22 out of the 36 substantiated allegations involving

military personnel were of sexual abuse (61 per cent), while 10 out of the 16 substantiated allegations concerning civilian personnel were related to sexual abuse (62 per cent). On the other hand, 8 out of the 17 substantiated allegations of sexual abuse (47 per cent) were associated with police personnel.

31. Not taking into account the pending investigations into 12 allegations, between 2010 and 2012, in 66 per cent of instances, information was deemed insufficient to launch an investigation or, when investigations were launched and completed, allegations were found to be unsubstantiated.

IV. Strengthened accountability and governance framework for heightened prevention, enforcement and remedial action

32. The following paragraphs provide an update on activities undertaken in the implementation of the programme of action for a strengthened accountability and governance framework.

A. Ensuring the credibility of the Organization's response through increased transparency and cooperation

33. To strengthen the credibility and integrity of the Organization in the eyes of the international community and the people it serves, the Secretary-General intends, with effect from the sixty-ninth session of the General Assembly, to include the following information in future reports: (a) country-specific data on the number of credible allegations being investigated by either Member States or the Organization; (b) country-specific data on open allegations and pending action, including in paternity cases; and (c) the nature of the offence, information on specific sanctions imposed, and whether criminal accountability was enforced, where applicable. In the interim, efforts have been made to increase transparency and strengthen tools for reporting. Improvements to the sexual exploitation and abuse-related charts and graphs on the Conduct and Discipline Unit website went live in March 2013, better explaining the information provided. Furthermore, information on the current status of actions taken to address allegations received since 2010 will be made available on that website and will be periodically updated, thereby enhancing transparency.

34. As indicated in the 2012 report of the Secretary-General (A/67/766), the framework for mapping accountability in peacekeeping operations is an essential tool for enhanced transparency, allowing for measurement of performance and responsiveness and adjustments to evolving challenges and risks in individual field mission environments. In this regard, the Department of Field Support sent a communication to all field missions highlighting for heads of mission the key aspects of the Secretary-General's 2012 report. The communication also introduced a draft framework for enhancing accountability related to misconduct occurring in field missions and solicited initial feedback on that initiative. The draft framework sets out a comprehensive vision for ensuring accountability by heads of mission for the purpose of making the Secretary-General's programme of action operational and reflecting the management objectives and performance measures contained in the senior manager's compact with the Secretary-General in this area. Feedback from heads of mission is being reviewed and will be incorporated in a comprehensive accountability framework.

35. A communication strategy was developed and implemented as part of this initiative. The Under-Secretary-Generals for Peacekeeping, Political Affairs and Field Support jointly issued statements to uniformed and non-uniformed personnel serving in field missions setting out the elements of the Secretary-General's strengthened programme of action and highlighting areas of organizational and personal accountability in this area.

36. As envisaged in the Secretary-General's 2012 report, a small team of experts comprising a former high-ranking military officer, a scholar and a high-ranking United Nations official was established to assess and identify risk factors that could undermine the efforts made in ensuring the successful implementation of the Secretary-General's zero tolerance policy. The team of experts visited the four field missions most affected by allegations of sexual exploitation and abuse (namely, MONUSCO, MINUSTAH, UNMIL and UNMISS) between June and August 2013. Through various sources of information, the experts identified several factors that set the root contexts for the risk and occurrence of sexual exploitation and abuse.

37. Several factors were identified by the team of experts as posing a serious challenge to the realization of the zero tolerance policy, including: post-conflict and/or post-disaster situations in host countries, which resulted in degraded conditions for women; poverty, which may leave few alternatives for livelihood; increased tolerance and rates of rape and abuse, with the local community accepting abuse to some degree, leading to possible underreporting; differences in backgrounds and cultural norms of peacekeepers with respect to women; improvements in security, providing more opportunities for interaction between United Nations personnel and the local population; and reluctance to report given possible money exchanges to silence complainants: this provides the latter with compensation while United Nations personnel avoid the consequences of sexual exploitation and abuse.

38. Regarding conditions specific to each of the four missions, the team of experts indicated that MINUSTAH may experience higher rates of sexual exploitation and abuse in part because the individuals deployed there feel they are in a more relaxed location, with more emphasis on recreational pleasures and more contexts, such as beaches and urban nightclubs, in which to engage in such recreational activities. There also appeared to be more suspicion or disparagement of the local population among some personnel in MINUSTAH, including a tendency to discount accusations of sexual exploitation and abuse as false.

39. In relation to UNMIL, the team of experts noted that special risks associated with this mission are relatively few, in large part owing to efforts by the UNMIL Conduct and Discipline Team and other mission leaders to maintain high levels of training and awareness regarding sexual exploitation and abuse. However, the team of experts also pointed to a strong risk that sexual exploitation and abuse may go unreported, particularly in the isolated regions of Liberia.

40. For MONUSCO, the team of experts cited a laxity in discipline with respect to sexual exploitation and abuse in some contingents. It also pointed to the military police being deployed in a very limited way and not patrolling all of the 22 United Nations locations. Additionally, assessment reports made following risk identification visits may not be receiving proper attention.

41. In UNMISS, the team of experts noted problems with unrestricted access to the main United Nations facility in Juba as well as poor living conditions at that location affecting morale and discipline. The team observed what appeared to be resistance on the part of some military commanders to the zero tolerance policy and its implementation.

42. The team of experts made several recommendations, which have been the subject of consultations between the Departments of Peacekeeping Operations and Field Support and the concerned field missions on how the applicable recommendations can best be implemented at the field level. An interdepartmental and inter-agency working group is reviewing the recommendations in the team of experts' report in order to ensure the implementation of those that are cross-cutting and have implications for the United Nations system and to provide a set of concrete recommendations to the leadership of the Organization. Some key areas for consideration include reviewing, enhancing, monitoring and tracking mandatory training on conduct and discipline for all personnel; outreach to communities and strengthening partnerships with civil society and agencies, funds and programmes; regular risk assessment activity for prevention; engagement of senior mission leadership; strengthening investigations; and enhancing conditions of welfare and recreation.

43. A specific risk management framework for sexual exploitation and abuse was developed, along with a draft action plan, in order to support and guide risk identification, assessment and management activities in missions. The framework and draft action plan were shared with missions, for application to the specific context of each. Consultations with field missions are ongoing and will provide the basis for the finalization of the framework for application in field missions in 2014. The implementation of and follow-up on the outcome of risk assessment activities have been captured in the draft accountability framework.

B. Strengthening governance, oversight and enforcement

44. The commitment of the Organization and Member States to take effective action to uphold universal standards and values and to ensure respect for the dignity of all human beings and the protection of the most vulnerable ensures accountability. This includes the condemnation, investigation, sanction and prosecution of criminal conduct when these essential tenets are violated.

45. The Secretariat has engaged in efforts to strengthen its own ability to ensure accountability in its management of cases of misconduct. A comprehensive set of enhancements to the misconduct tracking system is nearing completion, which will allow for more effective management of cases and tracking of actions taken. A yearly quality assurance exercise was launched in 2012, and repeated in 2013, under which field missions were requested to review cases pending for over a year and determine the nature of actions to be taken, in order to ensure the completion of investigations or disciplinary processes. This annual exercise has led to a marked decrease in open sexual exploitation and abuse cases in the misconduct tracking system. Field mission capacity to conduct investigations also continued to be enhanced through training sessions developed by OIOS, for security and investigative personnel in field missions. The training sessions were conducted in January and September 2013.

46. The Secretariat has continued its close follow-up with Member States on information to be provided on results of investigations or disciplinary processes conducted by Member States. This follow-up takes the form of periodic reminders sent by the Secretariat regarding information from Member States that has not been received, as well as face-to-face exchanges with military and police attachés from the Permanent Missions, allowing for information to be provided more promptly and in greater detail. As a further measure of accountability, it is proposed that Member States consider the introduction of specific performance indicators for the completion of investigations, including specific time frames for the initiation of an investigation and deployment of investigative capacities, its completion and communication to the Organization on the outcome, including sanctions in substantiated cases.

47. An agreement with the UNV programme is being drafted, to map out the process through which new international UNV candidates having previously served in United Nations peacekeeping and/or special political missions are screened against misconduct records held by the Conduct and Discipline Unit. In addition, two database interface projects were completed in 2013 to ensure that individually selected United Nations military observers, police officers and military staff officers are also screened against records of prior misconduct. A similar interface for the screening of other Government-provided personnel is also being considered. Means for screening military contingent and formed police unit personnel are also being explored.

48. The Secretary-General is determined to ensure effective command and managerial oversight. Guidance was sent to all field missions requesting that, when reporting to Headquarters on new allegations of sexual exploitation or abuse, field missions specifically indicate if the matter may also involve possible failure in command and control. In 2013, one such instance was identified in relation to an allegation of sexual abuse in MINUSMA and a request was made that the possible failure in command and control be specifically investigated. The Member State concerned rotated and replaced the military unit involved with the allegation.

49. The Secretary-General continues to require that field missions report allegations that may involve criminal conduct to Headquarters and that they cooperate with the host State in carrying out all necessary investigations. In turn, Member States are expected to investigate and prosecute instances of criminal conduct formally referred to their attention. However, the extraterritorial application of national laws of Member States to their personnel remains an issue, since some national laws do not allow for the prosecution of crimes committed outside the Member State territory by personnel other than military personnel.

C. Enhanced awareness and advocacy for more responsive protection and assistance to victims of sexual exploitation and abuse

50. As indicated in the previous report of the Secretary-General (A/67/766), prevention of sexual exploitation and abuse requires an integrated approach to awareness-raising and training, outreach and advocacy. In 2013, efforts were made at Headquarters, field missions, agencies, funds and programmes, and non-governmental organizations to work in partnership on training and awareness-raising and to share existing services and programmes for support to victims.

51. On training, consultations were held with the Integrated Training Service of the Department of Peacekeeping Operations on identifying ways to collaborate on methodology and presentation for updating or developing effective awareness-raising materials including training materials, on sexual exploitation and abuse and on overall standards of conduct. These consultations will continue in collaboration with Headquarters and mission gender, public information, child protection and related components. The materials will be aligned with the findings of the training needs assessment conducted by the Integrated Training Service. These efforts are aimed at developing harmonized and standardized materials that can be adapted for use by various actors and will include e-learning and blended learning programmes. Conduct and discipline issues will also feature in updates to the Senior Mission Administration and Resource Training (SMART) programme.

52. In this regard, integrated mission training centres and public information components in missions have been working closely with Conduct and Discipline Teams to promote effective approaches to the training of United Nations personnel, advocacy and outreach to the public and the local community. Some examples include community outreach activities conducted in MONUSCO, which have focused on reaching and sensitizing young persons on prevention against sexual exploitation and abuse through a campaign called "Engaging youth" that took place in Goma, Bunia, Bukavu, Kisangani and Kinshasa. In UNMISS, a national campaign was launched to coincide with the annual international campaign "16 Days of Activism Against Gender Violence". The campaign includes messages to encourage reporting, as well as other activities that will take place throughout South Sudan in relation to prevention and assistance to members of local communities. In UNMIL, some 175 religious leaders were sensitized about their role in the prevention of sexual exploitation and abuse. Using community radio, the religious leaders conducted talk shows during which they fielded questions from young people and answered queries about how and where to report sexual exploitation and abuse involving United Nations personnel in their communities.

53. All field missions continue to conduct systematic induction training, which includes comprehensive sessions on misconduct, including sexual exploitation and abuse, as well as training of focal points on sexual exploitation and abuse, refresher training and small-group discussions. In collaboration with the respective Public Information Offices, there have also been regular broadcast messages and distribution of materials for awareness-raising of all United Nations personnel.

54. Field missions continued to pursue partnerships and the implementation of the victim assistance strategy. Conduct and Discipline Teams and mission leadership are taking a more active role in bringing together the United Nations country teams and external partners to update the mapping of services to assist and support victims, in order to ensure that the availability of services remains current. Throughout 2013, some field missions made updates to the mapping of services and assistance available for victims of sexual exploitation and abuse. While the Conduct and Discipline Teams and/or focal points still play a key role, other mission components, including offices working on protection issues, human rights, gender and rule of law, have also been included to standardize a more integrated approach that would provide assistance to victims and facilitate their access to services.

55. These efforts are aligned with the accountability framework and will continue to be strengthened, monitored and reported on as it becomes operational. Under the

framework, heads of mission are to take action to bring the country teams together in keeping the victim assistance frameworks updated through annual mapping of services and ensuring that support and assistance are provided in an integrated manner, including through in-country networks and the leadership of the Resident Coordinator. These are further reinforced by the observations and recommendations of the team of experts in its assessment visits.

56. Some examples of cooperation on victim assistance from field missions include the completion of a draft protocol in UNMIK established between the mission and the UNDP Coordinator's Office entitled "Kosovo-based mechanisms for assisting victims of sexual exploitation and abuse by United Nations/non-governmental organization/intergovernmental organization staff and related personnel, July 2013". In MONUSCO, regular meetings were held with the United Nations country team and collaboration undertaken in instances where assistance for victims was needed. Both MONUSCO and UNMISS have a Senior Conduct and Discipline Advisory Committee/Group that meets regularly to discuss relevant issues, including collaboration and implementation of victim assistance. UNMIL continues to collaborate with inter-agency and national colleagues through the joint Government of Liberia and United Nations effort to address sexual and gender-based violence, which also addresses issues around victim assistance and support through shared services and programmes.

57. The Secretary-General continues to stress the importance of the leadership of deputy special representatives of the Secretary-General/resident coordinators and humanitarian coordinators and what is expected of them in working together with all United Nations actors on the ground for a more robust response to sexual exploitation and abuse and a strengthened sense of collective responsibility in efforts to prevent it.

58. Lastly, inroads have been made with a few Member States to tackle the problem of finding efficient means of addressing paternity claims. To facilitate the adjudication of such claims before national judicial instances, a message was recently sent to all field missions highlighting measures to be implemented in order to facilitate the collection of DNA samples in instances of paternity claims involving military or police personnel.

V. Update on inter-agency activities and joint initiatives relevant to protection from sexual exploitation and abuse

59. Linkages among the peacekeeping, humanitarian and development communities continue to be strengthened. In October 2013, the Inter-Agency Standing Committee Task Force on Protection from Sexual Exploitation and Abuse merged with the Inter-Agency Standing Committee Task Force on Accountability to Affected Populations to form a task team to work on creating a system-wide culture of accountability that includes institutionalization of the two issues, both in terms of function and resourcing, within each humanitarian member organization. The Department of Field Support represents peacekeeping and the Secretariat on the task team.

60. Funding was received in 2013 to pilot a community-based complaint mechanism in the Democratic Republic of the Congo, Ethiopia and Haiti, and

activities have begun to be implemented at the three locations. With support from offices at Headquarters and field missions, partnerships at the country level have been strengthened. An in-country network on protection from sexual exploitation and abuse was established in Lebanon in 2013. Through regular monthly meetings, including representation by the United Nations country team, a workplan was approved, standard operating procedures on inter-agency reporting were drafted, standardized training for the United Nations country team on sexual exploitation and abuse was developed and a community-based reporting mechanism established, including focal points within the Government of Lebanon.

61. In December 2012, the Inter-Agency Standing Committee principals requested the creation of an ad hoc task team to identify challenges and options in improving recruitment processes in the context of protection from sexual exploitation and abuse within the United Nations system. The task team presented recommendations aimed at addressing actions to be taken by both the applicant and agencies during the recruitment process, as well as information-sharing among agencies. The report of the task team is under consideration by the Inter-Agency Standing Committee principals. When approved, it will pave the way for strengthened inter-agency processes and collaboration.

62. The awareness-raising DVD "To serve with pride: Zero tolerance for sexual exploitation and abuse" was updated and launched electronically in October 2013. The Department of Field Support implemented a communication and dissemination strategy for the DVD, including a broadcast message from the Under-Secretaries-General of the Departments of Peacekeeping Operations and Field Support; uploading links to the DVD in the official United Nations languages on the Conduct and Discipline Unit website; and distribution of the DVD to peacekeeping and special political missions.

VI. Conclusions

63. The Secretary-General remains fully committed to the policy of zero tolerance for sexual exploitation and abuse. To that end, strengthened and sustained efforts will continue to be made to implement the accountability and governance framework and to strengthen inter-agency activities in an effort to prevent the perpetration of acts of sexual exploitation and abuse by United Nations personnel.

64. Despite the slight increase in allegations in 2013, the general downward trend is encouraging. Also encouraging is the fact that the numbers of substantiated allegations are experiencing a similar downward trend. However, the fact that allegations of sexual abuse are being substantiated in a greater proportion remains a grave cause for concern, highlighting the importance not only of vigorous preventive efforts but also of continued efforts in connection with disciplinary sanctions and criminal accountability.

65. Within his authority, the Secretary-General is determined to take all necessary measures to address all complaints of sexual exploitation and abuse brought to the attention of the United Nations. The Department of Field Support has continued to take steps to ensure that progress in addressing reported allegations is monitored and measured more closely. Furthermore, additional information on actions taken to address all allegations received will be provided to the public and periodically updated. Nonetheless, additional efforts continue to be required to shorten the time

needed to complete investigations and ensure that investigations address allegations comprehensively.

66. The Secretary-General also relies on Member States to promptly respond and complete investigations they undertake, and to provide sufficient information regarding the results of those investigations and other actions taken when allegations were found to be substantiated. Lastly, it is also expected that Member States will prosecute credible allegations of criminal offences when and where they are brought to their attention by the Secretariat.

67. Despite recent efforts, more needs to be done in connection with finding means of efficiently settling paternity claims, thereby enabling financial support for children born from acts of sexual exploitation or sexual abuse by United Nations personnel.

68. The General Assembly is requested to take note of the present report.

Annex I

Nature of allegations by entities other than peacekeeping and special political missions supported by the Department of Field Support, for the year 2013

Nature of allegation	*Office for the Coordination of Humanitarian Affairs*	*Office of the United Nations High Commissioner for Refugees*	*United Nations Development Programme*	*United Nations Relief and Works Agency for Palestine Refugees in the Near East*	*World Food Programme*	*Total*
Rape						
Victim under 18	–	–	1	–	–	1
Victim over 18	–	1	2	–	–	3
Sex with minors	1	2	1	–	–	4
Sexual assault						
Victim under 18	–	1	–	2	–	3
Victim over 18	–	–	1	1	–	2
Trafficking of persons for sexual exploitation	–	–	–	–	–	–
Exchange of money, employment, goods or services for sex	–	4	–	1	1	6
Solicitation of prostitutes						
Victim under 18	–	–	1	–	–	1
Victim over 18	–	–	–	–	1	1
Other forms of sexual exploitation and abuse	–	4	–	3	2	9
Other violations of the provisions of ST/SGB/2003/13 (e.g., false reporting of sexual exploitation and abuse)	–	–	–	–	–	–
Total	**1**	**12**	**6**	**7**	**4**	**30**

Annex II

Status of investigations into allegations received in 2013 involving entities other than peacekeeping and special political missions supported by the Department of Field Support

		Status of investigation as at 31 December 2013		
Entity	*Allegations received*	*Unsubstantiated or closed*	*Substantiated or report under review*	*Investigation continuing*
Office for the Coordination of Humanitarian Affairs	1	–	–	1
Office of the United Nations High Commissioner for Refugees	12	1	–	11
United Nations Development Programme	6	4	–	2
United Nations Relief and Works Agency for Palestine Refugees in the Near East	7	3	–	4
World Food Programme	4	3	–	1
Total	**30**	**11**	**0**	**19**

Annex III

Allegations by field mission and category of personnel, reported to the Office of Internal Oversight Services in 2013 involving personnel of the Department of Peacekeeping Operations and the Department of Field Support

Mission	*Category of personnel*[a]	*Victim*[a]	*Allegation*	*Status*	*Results*	*Action*[a]
MINUSMA	Military contingent (1)	Minor (1)	Abuse	United Nations review	Unsubstantiated	Closed
MINUSMA	Military contingent (1)	Adult (1)	Exploitation	National Investigation Officer requested	Pending	Pending
MINUSMA	Military contingent (2)	Minor (1)	Abuse	Troop-contributing country investigation	Pending	United Nations pending Troop-contributing country pending
MINUSMA	Military contingent (10)	Adult (1)	Abuse	Troop-contributing country investigation	Pending	United Nations pending Troop-contributing country pending
MINUSMA	Military contingent (1)	Adult (1)	Exploitation	Troop-contributing country investigation	Substantiated	United Nations repatriation (1) Troop-contributing country pending
MINUSTAH	Civilian staff (1)	Minor (1)	Abuse	United Nations investigation[b]	Unsubstantiated	Closed
MINUSTAH	Civilian staff (1)	Adult (1)	Abuse	United Nations investigation[b]	Unsubstantiated	Closed
MINUSTAH	Unidentified	Unknown	Abuse	United Nations review	Pending	Pending
MINUSTAH	Civilian staff (1)	Adult (1)	Abuse	United Nations investigation[b]	Pending	Pending United Nations (administrative leave with pay)

Mission	*Category of personnel*[a]	*Victim*[a]	*Allegation*	*Status*	*Results*	*Action*[a]
MINUSTAH	Police (1)	Adult (1)	Exploitation	United Nations investigation[c]	Substantiated	United Nations pending Police-contributing country pending
MINUSTAH	Military contingent (1)	Adult (1)	Exploitation (paternity)	Troop-contributing country investigation	Pending	United Nations pending Troop-contributing country pending
MINUSTAH	Military contingent (1)	Adult (1)	Exploitation (paternity)	Troop-contributing country investigation	Pending	United Nations pending Troop-contributing country pending
MINUSTAH	Military contingent (1)	Adult (1)	Exploitation (paternity)	Troop-contributing country investigation	Pending	United Nations pending Troop-contributing country pending
MINUSTAH	Military contingent (1)	Adult (1)	Exploitation	Troop-contributing country investigation	Pending	United Nations pending Troop-contributing country pending
MINUSTAH	Military contingent (1)	Adult (1)	Abuse	Troop-contributing country investigation	Pending	United Nations pending Troop-contributing country pending
MINUSTAH	Military contingent (1)	Adult (1)	Exploitation (paternity)	Troop-contributing country investigation	Substantiated	United Nations pending Troop-contributing country jail (1)
MINUSTAH	Police (1)	Adult (1)	Exploitation	United Nations investigation[c]	Substantiated	United Nations pending Police-contributing country pending
MINUSTAH	Police formed police unit (1+)	Adult (1) Minor (6)	Abuse	United Nations investigation[b]	Pending	United Nations pending Police-contributing country pending

Mission	*Category of personnel*[a]	*Victim*[a]	*Allegation*	*Status*	*Results*	*Action*[a]
MINUSTAH	Police (1)	Minor (1)	Abuse	United Nations investigation[b]	Pending	United Nations pending Police-contributing country pending
MINUSTAH	Police (1)	Adult (1)	Exploitation (paternity)	United Nations investigation[c]	Pending	United Nations pending Police-contributing country pending
MINUSTAH	Military contingent (1)	Adult (1)	Exploitation (paternity)	Troop-contributing country investigation	Substantiated	United Nations repatriation (1) Troop-contributing country jail (1)
MINUSTAH	Military contingent (1)	Adult (1)	Exploitation (paternity)	Troop-contributing country investigation	Substantiated	United Nations repatriation (1) Troop-contributing country jail (1)
MONUSCO	Civilian staff (1)	Adult (1)	Exploitation (paternity)	United Nations investigation[c]	Unsubstantiated	Closed
MONUSCO	Civilian staff (1)	Minor (1)	Abuse	United Nations investigation[b]	Unsubstantiated	Closed
MONUSCO	Military contingent	Adult Minor	Abuse	United Nations review	Unsubstantiated	Closed
MONUSCO	Military observer (1)	Adult	Abuse	For information	N/A	Closed
MONUSCO	Military contingent	Adult	Exploitation	For information	N/A	Closed
MONUSCO	Civilian staff (1)	Adult (1)	Exploitation	United Nations investigation[c]	Pending	Pending
MONUSCO	Civilian national staff (1)	Minor (1)	Abuse	United Nations investigation[b]	Pending	Pending
MONUSCO	Military contingent	Adult (1) Minor (1+)	Abuse	National Investigation Officer requested	Pending	Pending

Mission	*Category of personnel*[a]	*Victim*[a]	*Allegation*	*Status*	*Results*	*Action*[a]
MONUSCO	Civilian United Nations Volunteer (1)	Adult (1)	Exploitation (paternity)	United Nations investigation[c]	Pending	Pending
MONUSCO	Civilian national staff (1)	Adult (1)	Exploitation	United Nations investigation[c]	Unsubstantiated	Closed
MONUSCO	Civilian contractor (6)	Adult	Exploitation	United Nations investigation[b]	Pending	Pending
MONUSCO	Civilian national staff (1)	Adult (2)	Expioitation	United Nations investigation[c]	Pending	Pending
MONUSCO	Military contingent (1)	Adult (1)	Abuse	National Investigation Officer requested	Pending	Pending
MONUSCO	Military contingent (2)	Minor (1)	Abuse	National Investigation Officer requested	Pending	Pending
MONUSCO	Civilian national staff (1)	Minor (1)	Abuse	United Nations investigation[b]	Pending	Pending United Nations (administrative leave without pay)
MONUSCO	Military contingent (1)	Adult (1)	Exploitation	United Nations investigation[c]	Substantiated	United Nations pending Troop-contributing country jail (1)
MONUSCO	Military contingent (2)	Minor (1)	Abuse	Troop-contributing country investigation	Pending	United Nations pending Troop-contributing country pending
MONUSCO	Military contingent (1)	Minor (1)	Abuse	Troop-contributing country investigation	Pending	United Nations pending Troop-contributing country pending
MONUSCO	Military contingent (1)	Adult (1)	Exploitation (paternity)	Troop-contributing country investigation	Pending	United Nations pending Troop-contributing country pending

Mission	*Category of personnel*[a]	*Victim*[a]	*Allegation*	*Status*	*Results*	*Action*[a]
MONUSCO	Military contingent (1)	Adult (1)	Exploitation	Troop-contributing country investigation	Pending	United Nations pending Troop-contributing country pending
MONUSCO	Military contingent (4)	Adult (1)	Abuse	Troop-contributing country investigation	Pending	United Nations pending Troop-contributing country pending
MONUSCO	Military observer (1)	Minor (1)	Abuse	United Nations investigation[b]	Pending	United Nations pending Troop-contributing country pending
MONUSCO	Military contingent (1)	Adult (1)	Exploitation (paternity)	Troop-contributing country investigation	Substantiated	United Nations repatriation (1) Troop-contributing country dismissal (1)
UNAMID	Civilian	Adult	Exploitation	United Nations investigation[c]	Pending	Pending
UNFICYP	Military contingent	Adult	Exploitation	Troop-contributing country investigation	Pending	United Nations pending Troop-contributing country pending
UNMIK	Civilian	Minor	Abuse	United Nations investigation[b]	Pending	Pending
UNMIK	Civilian national staff (1)	Minor (1+)	Abuse	United Nations investigation[c]	Pending	Pending United Nations (administrative leave without pay)
UNMIL	Civilian staff (1)	Adult (1)	Exploitation	United Nations investigation[c]	Unsubstantiated	Closed
UNMIL	Police (2)	Adult (1)	Abuse	United Nations investigation[b]	Unsubstantiated	Closed

Mission	*Category of personnel*[a]	*Victim*[a]	*Allegation*	*Status*	*Results*	*Action*[a]
UNMIL	Military contingent	Minor	Abuse	Troop-contributing country investigation	Unsubstantiated	Closed
UNMIL	Military (1)	Adult	Exploitation	For information	N/A	Closed
UNMIL	Military contingent (1)	Adult (1)	Abuse	National Investigation Officer requested	Pending	Pending
UNMIL	Military contingent (1)	Adult (1)	Exploitation	National Investigation Officer requested	Pending	Pending
UNMIL	Military Observer (1)	Adult	Exploitation	United Nations investigation[c]	Pending	United Nations pending Troop-contributing country pending
UNMISS	Police (1)	Adult	Exploitation	United Nations review	Unsubstantiated	Closed
UNMISS	Civilian staff (1)	Adult (1)	Exploitation	United Nations investigation[c]	Pending	Pending
UNMISS	Civilian UNV (1)	Adult (1)	Abuse	United Nations investigation[c]	Pending	Pending
UNMISS	Civilian national staff	Minor (1)	Abuse	United Nations investigation[b]	Pending	Pending
UNMISS	Civilian contractor (1)	Adult (1)	Abuse	United Nations investigation[b]	Pending	Pending
UNMISS	Military contingent (1)	Adult (1)	Exploitation (paternity)	National Investigation Officer requested	Pending	Pending
UNOCI	Military contingent	Adult	Exploitation	For information	N/A	Closed
UNOCI	Civilian staff (1)	Adult (1)	Exploitation	United Nations investigation[c]	Pending	Pending
UNOCI	Military contingent (1)	Adult (1)	Abuse	United Nations investigation[b]	Pending	United Nations pending Troop-contributing country pending

Mission	*Category of personnel*[a]	*Victim*[a]	*Allegation*	*Status*	*Results*	*Action*[a]
UNOCI	Military contingent (1)	Adult (1)	Abuse	Troop-contributing country investigation	Substantiated	United Nations repatriation (1) Troop-contributing country jail (1)

Abbreviations: MINUSMA, United Nations Multidimensional Integrated Stabilization Mission in Mali; MINUSTAH, United Nations Stabilization Mission in Haiti; MONUSCO, United Nations Organization Stabilization Mission in the Democratic Republic of the Congo; UNAMID, African Union-United Nations Hybrid Operation in Darfur; UNFICYP, United Nations Peacekeeping Force in Cyprus; UNMIK, United Nations Interim Administration Mission in Kosovo; UNMIL, United Nations Mission in Liberia; UNMISS, United Nations Mission in South Sudan; UNOCI, United Nations Operation in Côte d'Ivoire.

[a] The number of individuals involved is indicated in parentheses, when available.

[b] Investigation conducted by OIOS.

[c] Investigation conducted by field mission.